

Section #5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Xie, et al.

Serial No: 09/617,736

Filed: July 17, 2000

For: FIBER OPTICAL PIGTAIL  
GEOMETRY FOR IMPROVED  
EXTINCTION RATIO OF  
POLARIZATION MAINTAINING  
FIBERS

) Art Unit: 2874

) Examiner:



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

On: 12-12-00 Teri Muir  
Date Teri Muir

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Honorable Assistant Commissioner  
for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts dated October 19, 2000,  
please find enclosed herewith:

1. Copy of Assignment executed by the inventors;
2. Declaration and Power of Attorney executed by the inventors;
3. Check in the amount of \$840.00 for filing fee and surcharge for assignee as a large entity calculated as follows:


Basic filing fee	\$710.00
Surcharge	\$130.00
Total	\$840.00

4. Copy of Notice to File Missing Parts.

In the event any variance exists between the amount enclosed and the patent office charges for filing the above-noted documents, including any fees required under 37 CFR 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, the Assistant Commissioner is hereby authorized to charge or credit the difference to our Deposit Account No. 50-0612. An additional copy of this page is enclosed.

Respectfully submitted,  
Sierra Patent Group, Ltd.

Dated: 12-12-00

  
Timothy A. Brisson  
Reg. No.: 44,046



Sierra Patent Group, Ltd.  
P.O. Box 6149  
Stateline, NV 89449  
(775) 586-9500

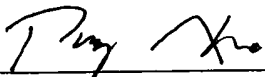
## ASSIGNMENT

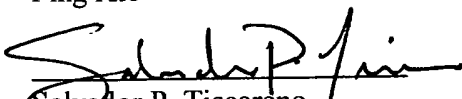
WHEREAS, we, Ping Xie, a citizen of the United States, residing at 1272 Chessington Drive, San Jose, California 95131, Yonglin Huang, a citizen of the United States, residing at 2463 Flickinger Road, San Jose, California 95131, and Salvador P. Tiscareno, a citizen of the United States, residing at 4685 Albany Circle #127, San Jose, California 95129, have invented a **"FIBER OPTICAL PIGTAIL GEOMETRY FOR IMPROVED EXTINCTION RATIO OF POLARIZATION MAINTAINING FIBERS"** for which we have executed application papers for a U.S. patent thereon, which was filed on July 17, 2000, serial No. not yet assigned; and


WHEREAS, New Focus, Inc., a Delaware corporation, having a place of business at 2630 Walsh Avenue, Santa Clara, California 95051, is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefore in the United States of America and its territories and possessions, and all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, we, Ping Xie, Yonglin Huang and Salvador P. Tiscareno, do sell, assign, transfer and set over unto the said New Focus, Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all Letters Patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to New Focus, Inc., its successors and assigns, in accordance with this Assignment.

WITNESS OUR HAND at Santa Clara, California, this 5<sup>th</sup> day of December, 2000.

  
\_\_\_\_\_  
Ping Xie

  
\_\_\_\_\_  
Salvador P. Tiscareno

  
\_\_\_\_\_  
Yonglin Huang

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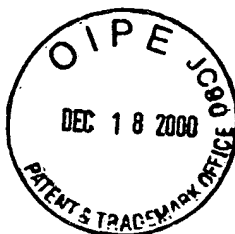


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/617,736	07/17/2000	Ping Xie	NFCS-00-011

Timothy A Brisson  
Sierra Patent Group Ltd  
P O Box 6149  
Stateline, NV 89449



## FORMALITIES LETTER



\*OC000000005485771\*

Date Mailed: 10/19/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 820.

*A copy of this notice **MUST** be returned with the reply.*

*David, he*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/20/2000 BHABTEH 000000030 09617736

01 FC:101  
02 FC:105710.00 DP  
130.00 DP